

PATENT  
89188.0046

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Steven D. GOODMAN, et al.

Serial No.: 10/614,072

Confirmation No.: 6624

Filed: July 2, 2003

For: PREVENTING TOOTH DECAY  
AND INFECTIVE  
ENDOCARDITIS USING  
NATURAL OLIGOPEPTIDES

Art Unit: 1645

Examiner: Lakia J. Tongue

REQUEST FOR REFUND (IMPROPER CHARGE  
OF DEPOSIT ACCOUNT) (37 C.F.R. § 1.26)

Mail Stop 16  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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P.O. Box 1450  
Alexandria, VA 22313-1450, on

June 23, 2006

Date of Deposit

Rebecca Golden

Name

Signature

Date

Dear Sir:

1. This is a request for a refund, with respect to the charge to Deposit Account 50-1314, shown on the statement dated June, 2006 for the above-referenced application/patent. A copy of the statement, in which the error referred to occurs, accompanies this request.

2. FEES CHARGED FOR WHICH  
REFUND REQUESTED:

- ☐ Filing Fee  
☐ Surcharge  
☐ Extension of time for response  
☐ Excess claims  
☒ Issue fee  
☐ Petition fee  
☐ Maintenance fee \_\_\_ year  
☐ Maintenance fee surcharge

AMOUNT OF  
REFUND REQUESTED:

08/09/2006 RCLEMONS 00000001 501314 10614072

01 FC:2501 70000000 DA

3. EXPLANATION OF WHY CONTESTED CHARGE IS IN ERROR:

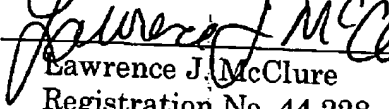
On June 21, 2006 Applicant paid the Issue Fee of \$1400 for a large entity when in fact it is a small entity. A copy of the Acknowledgement Receipt and Fee Transmittal are enclosed.

4. MANNER OF REFUND:

Please credit \$700 to Deposit Account number 50-1314.

Respectfully submitted,

HOGAN & HARTSON L.L.P.

By:   
Lawrence J. McClure  
Registration No. 44,228  
Attorney for Applicant(s)

Date: June 23, 2006

500 South Grand Avenue, Suite 1900  
Los Angeles, California 90071  
Phone: 213-337-6700  
Fax: 213-337-6701



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Page**Deposit Account Statement**

Requested Statement Month: June 2006  
 Deposit Account Number: 501314  
 Name: HOGAN & HARTSON, L.L.P.  
 Attention: WILLIAM WRIGHT  
 Address: BILTMORE TOWER  
 City: LOS ANGELES  
 State: CA  
 Zip: 90071  
 Country: UNITED STATES

DATE	SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
06/01	52	11378730	81858.0030	2051	\$65.00	\$23,374.00
06/02	88	11059255	81876.0087	1801	\$790.00	\$22,584.00
06/02	89	11059255	81876.0087	1253	\$1,020.00	\$21,564.00
06/02	170	11441602	81922.0045	8021	\$40.00	\$21,524.00
06/02	184	10748734	88519.0001	1201	\$200.00	\$21,324.00
06/05	38	60809896	89303.001	2005	\$100.00	\$21,224.00
06/06	28	10495378	81919.0019	1201	\$200.00	\$21,024.00
06/06	52	PAYMENT		9203	-\$12,050.00	\$33,074.00
06/06	55	10278757	81872.0043	1202	\$400.00	\$32,674.00
06/06	56	10278757	81872.0043	1201	\$400.00	\$32,274.00
06/06	57	10278757	81872.0043	1253	\$1,020.00	\$31,254.00
06/06	64	10080994	81784.0250	1801	\$790.00	\$30,464.00
06/06	121	10762676	81872.0055	1251	\$120.00	\$30,344.00
06/06	173	60810542	89188.0155	2005	\$100.00	\$30,244.00
06/06	227	6907458	23658.0004	8021	\$40.00	\$30,204.00
06/06	228	6934300	23658.0005	8021	\$40.00	\$30,164.00
06/07	198	11359048	81752.0185	8021	\$40.00	\$30,124.00
06/07	199	11283609	81872.0104	8021	\$40.00	\$30,084.00
06/07	714	11193045	81887.0129	8021	\$40.00	\$30,044.00
06/08	70	10818476	83394.0025	1201	\$2,600.00	\$27,444.00
06/08	71	10818476	83394.0025	1202	\$650.00	\$26,794.00
06/08	117	0144560377	89296.0081	8014	\$25.00	\$26,769.00
06/08	139	11370382	81756.0015	8021	\$40.00	\$26,729.00
06/08	296	PCT/US06/21018	89212.0031	1601	\$300.00	\$26,429.00
06/08	297	PCT/US06/21018	89212.0031	1602	\$1,000.00	\$25,429.00
06/08	298	PCT/US06/21018	89212.0031	1702	\$1,086.00	\$24,343.00
06/08	299	PCT/US06/21018	89212.0031	1703	\$792.00	\$23,551.00

# Deposit Account Statement

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06/08 300	PCT/US06/21018	89212.0031	8007	\$20.00	\$23,531.00
06/08 322	11134828	88583.0004	8007	\$20.00	\$23,511.00
06/09 33	11377227		9204	-\$120.00	\$23,631.00
06/09 34	11377227		9204	-\$130.00	\$23,761.00
06/09 169	10111663	81833.0037	8021	\$40.00	\$23,721.00
06/09 171	10473293	81833.0045	8021	\$40.00	\$23,681.00
06/09 423	11422870	89325.0002	8021	\$40.00	\$23,641.00
06/09 473	11422866	89325.0001	8021	\$40.00	\$23,601.00
06/09 1636	11422870	89325.0002	1011	\$300.00	\$23,301.00
06/09 1637	11422870	89325.0002	1111	\$500.00	\$22,801.00
06/09 1638	11422870	89325.0002	1311	\$200.00	\$22,601.00
06/09 1639	11422870	89325.0002	1201	\$200.00	\$22,401.00
06/09 1811	11422866	89325.0001	1011	\$300.00	\$22,101.00
06/09 1812	11422866	89325.0001	1111	\$500.00	\$21,601.00
06/09 1813	11422866	89325.0001	1311	\$200.00	\$21,401.00
06/12 13	0424740	81833.0009	8021	\$40.00	\$21,361.00
06/12 15	11354277		9204	-\$250.00	\$21,611.00
06/12 16	60811899	89188.0156	2005	\$100.00	\$21,511.00
06/12 69	09818125	81747.0191	1252	\$450.00	\$21,061.00
06/12 70	09818125	81747.0191	1801	\$790.00	\$20,271.00
06/12 89	10900017	81864.0040	1806	\$180.00	\$20,091.00
06/12 142	29261073	89296.0099	1012	\$200.00	\$19,891.00
06/12 143	29261073	89296.0099	1112	\$100.00	\$19,791.00
06/12 144	29261073	89296.0099	1312	\$130.00	\$19,661.00
06/12 163	29261066	89296.0100	1012	\$200.00	\$19,461.00
06/12 164	29261066	89296.0100	1112	\$100.00	\$19,361.00
06/12 165	29261066	89296.0100	1312	\$130.00	\$19,231.00
06/12 218	10753087	89285.0005	1801	\$790.00	\$18,441.00
06/13 35	10978302	81716.0133	1202	\$300.00	\$18,141.00
06/13 36	11449991	88529.0003	2011	\$150.00	\$17,991.00
06/13 36	10978302	81716.0133	1251	\$120.00	\$17,871.00
06/13 37	11449991	88529.0003	2111	\$250.00	\$17,621.00
06/13 38	11449991	88529.0003	2311	\$100.00	\$17,521.00
06/13 38	60812240	89188.0157	2005	\$100.00	\$17,421.00
06/13 39	11449991	88529.0003	2202	\$375.00	\$17,046.00
06/13 41	60812237	89325.0003	1005	\$200.00	\$16,846.00
06/13 47	10312750	81839.0123	1801	\$790.00	\$16,056.00
06/13 48	10312750	81839.0123	1251	\$120.00	\$15,936.00
06/13 89	10696745	81716.0112	1801	\$790.00	\$15,146.00
06/13 90	10696745	81716.0112	1252	\$330.00	\$14,816.00
06/13 267	29261073	89296.0099	8021	\$40.00	\$14,776.00
06/13 270	29261066	89296.0100	8021	\$40.00	\$14,736.00
06/13 981	10744634	81863.0025	1806	\$180.00	\$14,556.00
06/13 1011	10209498	83396.0002	1501	\$1,400.00	\$13,156.00
06/13 1012	10209498	83396.0002	1504	\$300.00	\$12,856.00
06/14 10	11345836	89212.0027	8021	\$40.00	\$12,816.00
06/14 35	10053089	81800.0178	1251	\$120.00	\$12,696.00
06/14 36	10053089	81800.0178	1801	\$790.00	\$11,906.00

# Deposit Account Statement

06/14 74	11345836	89212.0027 2051	\$65.00	\$11,841.00
06/14 75	11345836	89212.0027 2251	\$60.00	\$11,781.00
06/14 412	11423943	88527.0003 8021	\$40.00	\$11,741.00
06/14 1217	11423943	88527.0003 1011	\$300.00	\$11,441.00
06/14 1218	11423943	88527.0003 1111	\$500.00	\$10,941.00
06/14 1219	11423943	88527.0003 1311	\$200.00	\$10,741.00
06/15 43	PAYMENT	9203	-\$10,800.00	\$21,541.00
06/15 207	11451977	89326.0001 1011	\$300.00	\$21,241.00
06/15 208	11451977	89326.0001 1111	\$500.00	\$20,741.00
06/15 209	11451977	89326.0001 1311	\$200.00	\$20,541.00
06/15 407	10596475	81707.0201 1631	\$300.00	\$20,241.00
06/15 408	10596475	81707.0201 1642	\$400.00	\$19,841.00
06/15 409	10596475	81707.0201 1633	\$200.00	\$19,641.00
06/15 410	10596475	81707.0201 1617	\$130.00	\$19,511.00
06/16 8	11363301	81829.0049 8021	\$40.00	\$19,471.00
06/16 13	60813646	23539.0080 1005	\$200.00	\$19,271.00
06/16 50	11363301	81829.0049 2051	\$65.00	\$19,206.00
06/16 160	11451977	89326.0001 8021	\$40.00	\$19,166.00
06/16 253	11424515	88518.0089 8021	\$40.00	\$19,126.00
06/16 300	60707321	88584.0007 8021	\$40.00	\$19,086.00
06/16 903	29247404	81790.0352 1012	\$200.00	\$18,886.00
06/16 904	29247404	81790.0352 1112	\$100.00	\$18,786.00
06/16 905	29247404	81790.0352 1312	\$130.00	\$18,656.00
06/16 1003	11424515	88518.0089 1011	\$300.00	\$18,356.00
06/16 1004	11424515	88518.0089 1111	\$500.00	\$17,856.00
06/16 1005	11424515	88518.0089 1311	\$200.00	\$17,656.00
06/19 1	10460703	81872.0047 1251	-\$120.00	\$17,776.00
06/19 7	10853773	81880.0116 1201	\$600.00	\$17,176.00
06/19 37	10264209	81710.0225 1201	\$400.00	\$16,776.00
06/19 946	10927266	81707.0195 1501	\$1,400.00	\$15,376.00
06/19 947	10927266	81707.0195 1504	\$300.00	\$15,076.00
06/20 12	10667134	89227.0005 1202	\$100.00	\$14,976.00
06/20 13	10667134	89227.0005 1201	\$800.00	\$14,176.00
06/20 14	10667134	89227.0005 1801	\$790.00	\$13,386.00
06/20 19	10119524	81788.0219 1201	\$400.00	\$12,986.00
06/20 49	60703816	88584.0006 8021	\$40.00	\$12,946.00
06/20 53	60710759	88584.0008 8021	\$40.00	\$12,906.00
06/20 61	60716912	88584.0009 8021	\$40.00	\$12,866.00
06/20 67	60717009	88584.0010 8021	\$40.00	\$12,826.00
06/20 71	60717003	88584.0011 8021	\$40.00	\$12,786.00
06/20 73	10911420	81710.0275 1201	\$200.00	\$12,586.00
06/20 77	60723397	88584.0012 8021	\$40.00	\$12,546.00
06/20 81	10477380	89277.0018 1253	\$1,020.00	\$11,526.00
06/21 68	11265593	89188.0137 2255	\$1,080.00	\$10,446.00
06/21 87	10290028	81790.0258 1504	\$30.00	\$10,416.00
06/21 199	11425334	81887.0150 8021	\$40.00	\$10,376.00
06/21 212	11393385	88534.0020 8021	\$40.00	\$10,336.00
06/21 734	11425334	88534.0020 1011	\$300.00	\$10,036.00

# Deposit Account Statement

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06/21 735	11425334	88534.0020 1111	\$500.00	\$9,536.00
06/21 736	11425334	88534.0020 1311	\$200.00	\$9,336.00
06/21 778	11393385	88534.0020 1011	\$300.00	\$9,036.00
06/21 779	11393385	88534.0020 1111	\$500.00	\$8,536.00
06/21 780	11393385	88534.0020 1311	\$200.00	\$8,336.00
06/21 781	11393385	88534.0020 1051	\$130.00	\$8,206.00
06/22 72	10807889	81864.0037 1501	-\$1,400.00	\$9,606.00
06/22 73	10807889	81864.0037 1504	-\$300.00	\$9,906.00
06/22 74	10807889	81864.0037 8001	-\$18.00	\$9,924.00
06/22 75	10807889	81864.0037 1501	\$1,400.00	\$8,524.00
06/22 76	10807889	81864.0037 1504	\$300.00	\$8,224.00
06/22 77	10807889	81864.0037 8001	\$18.00	\$8,206.00
06/22 778	10614072	89188.0046 1501	\$1,400.00	\$6,806.00
06/22 779	10614072	89188.0046 1504	\$300.00	\$6,506.00
06/22 813	10884827	81872.0067 1501	\$1,400.00	\$5,106.00
06/22 814	10884827	81872.0067 1504	\$300.00	\$4,806.00
06/22 846	10967702	81876.0078 1501	\$1,400.00	\$3,406.00
06/22 847	10967702	81876.0078 1504	\$300.00	\$3,106.00
06/22 860	11169227	81716.0151 1501	\$1,400.00	\$1,706.00
06/22 861	11169227	81716.0151 1504	\$300.00	\$1,406.00
06/23 6	11403707	88578.0011 8021	\$40.00	\$1,366.00
06/23 17	10535477	81864.0061 1615	-\$1,000.00	\$2,366.00
06/23 17	PAYMENT	9203	-\$17,945.00	\$20,311.00
06/23 19	10535477	9204	-\$100.00	\$20,411.00
06/23 75	60815358	89188.0160 2005	\$100.00	\$20,311.00

START	SUM OF	SUM OF	END
BALANCE	CHARGES	REPLENISH	BALANCE
\$23,439.00	\$47,361.00	\$44,233.00	\$20,311.00

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## Acknowledgement Receipt

The USPTO has received your submission at **17:57:52 EST on 21-JUN-2006**.

\$ **1700** fee paid by e-Filer with RAM Confirmation Number: 355.

## eFiled Application Information

EFS ID	1087457
Application Number	10614072
Confirmation Number	6624
Title of Invention	PREVENTING TOOTH DECAY AND INFECTION OF THE ENDOCARDITIS USING NATURAL OLIGOPEPTIDES
First Named Inventor	Steven D. Goodman
Customer Number or Correspondence Address	26021
Filed By	Lawrence James McClure/Rebecca Golde
Attorney Docket Number	89188.0046
Filing Date	02-JUL-2003
Receipt Date	21-JUN-2006
Application Type	Utility

## Application Details

Submitted Files	Page Count	Document Description
891880046ifft.pdf	1	Issue Fee Payment Record
fee-info.pdf	2	Fee Worksheet (PTO-875)

This Acknowledgement Receipt evidences receipt on the noted date of the documents, characterized by the applicant, and including page count evidence of receipt similar to a Post Card, as described in MPEP 501.

## New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the n (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.53(d)) the date shown on this Acknowledgement Receipt will establish the

National Stage of an International Application under 35 U.S.C.

If a timely submission to enter the national stage of an international application is made under the conditions of 35 U.S.C. 371 and other applicable requirements a foreign priority claim is accepted as a national stage submission under 35 U.S.C. 371 in addition to the Filing Receipt, in due course.

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- *If you experience technical difficulties or problems with this site, please e-mail to [Electronic\\_Business\\_Support@uspto.gov](mailto:Electronic_Business_Support@uspto.gov) or call 1 800-786-9199.*

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# PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** Mail Stop **ISSUE FEE**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
 or **Fax** (571)-273-2885

**INSTRUCTIONS:** This form should be used for transmitting the **ISSUE FEE** and **PUBLICATION FEE** (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

**CURRENT CORRESPONDENCE ADDRESS** (Note: Use Block 1 for any change of address)

26021 7390 03/21/2006

**HOGAN & HARTSON L.L.P.**  
**500 S. GRAND AVENUE**  
**SUITE 1900**  
**LOS ANGELES, CA 90071-2611**

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

**Certificate of Mailing or Transmission**  
 I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop **ISSUE FEE** address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

Rebecca Golden (Depositor's name)  
 (Signature)  
 June 21, 2006 (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/614,072	07/02/2003	Steven D. Goodman	89188.0046	6624

**TITLE OF INVENTION:** PREVENTING TOOTH DECAY AND INFECTIVE ENDOCARDITIS USING NATURAL OLIGOPEPTIDES

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$700	\$300	\$1000	06/21/2006
EXAMINER	ART UNIT	CLASS-SUBCLASS			
TONGUE, LAKIA I	1645	424-165100			

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list:

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,  
 (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 HOGAN & HARTSON LLP  
 2 \_\_\_\_\_  
 3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.111. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE  
**UNIVERSITY OF SOUTHERN CALIFORNIA**

(B) RESIDENCE: (CITY and STATE OR COUNTRY)  
**LOS ANGELES, CALIFORNIA**

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are enclosed:

- ☒ Issue Fee  
☒ Publication Fee (No small entity discount permitted)  
☒ Advance Order - # of Copies 4

4b. Payment of Fee(s):

- ☐ A check in the amount of the fee(s) is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☒ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number 50-1314 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☐ a. Applicant claims **SMALL ENTITY** status. See 37 CFR 1.27.

☐ b. Applicant is no longer claiming **SMALL ENTITY** status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid Issue fee to the application identified above.  
 NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant, a registered attorney or agent, or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

*Lawrence J. McClure*

Date June 21, 2006

Typed or printed name

Lawrence J. McClure

Registration No. 44,228

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